



1997

*Scorebook*





# 1997

## Scorebook

Examiner Name \_\_\_\_\_

Number of Hours Worked \_\_\_\_\_

Applicant Name \_\_\_\_\_

Return Scorebook to:

Sent to Examiner \_\_\_\_\_  
date

**Malcolm Baldrige National Quality Award**  
**ASQC**  
611 E. Wisconsin Avenue  
Milwaukee, WI 53202  
(414) 765-7205  
(800) 248-1946 ext. 7226

Send Scorebook via overnight mail  
before \_\_\_\_\_  
due date

☐ Stage 1  
Scorebook

☐ Consensus  
Scorebook

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# Introduction and General Instructions

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## ***Introduction***

This Scorebook provides Examiners with a concise, organized, and standardized method to record their comments and scores in the evaluation of an applicant. In Stage 1, the independent review, this Scorebook is used to record the individual Examiner's findings. In Stage 2, the consensus review, the Scorebook is used to record the findings of the Consensus Team.

A Suggested Process for Scorebook Completion (beginning on page 3) illustrates a systematic process for evaluating an applicant and indicates how to complete each of the worksheets in the Scorebook.

## ***Timeliness***

Note the due date on the Cover Sheet of the Scorebook. The cooperation of Examiners in adhering to turnaround times in the application review process is critical to the success of the program.

## ***Confidentiality***

You are reminded that the application, your Scorebook, all notes, computer files, and all other information relating to applicants are highly confidential. Do not conduct your review in the presence of others or leave these documents where other people can have access to them.

## ***Your Task – Scorebook Completion and Return***

Your task is to complete the following documents and return them to ASQC by the due date indicated on the Cover Sheet.

- Cover Sheet
- Key Business Factors Worksheet
- Comment and Scoring Worksheets for 20 Items
- Score Summary Worksheet
- Comment Summary Worksheet
- Consensus Evaluation Summary Worksheet (at consensus, only)
- Checklist and Conflict of Interest Statement

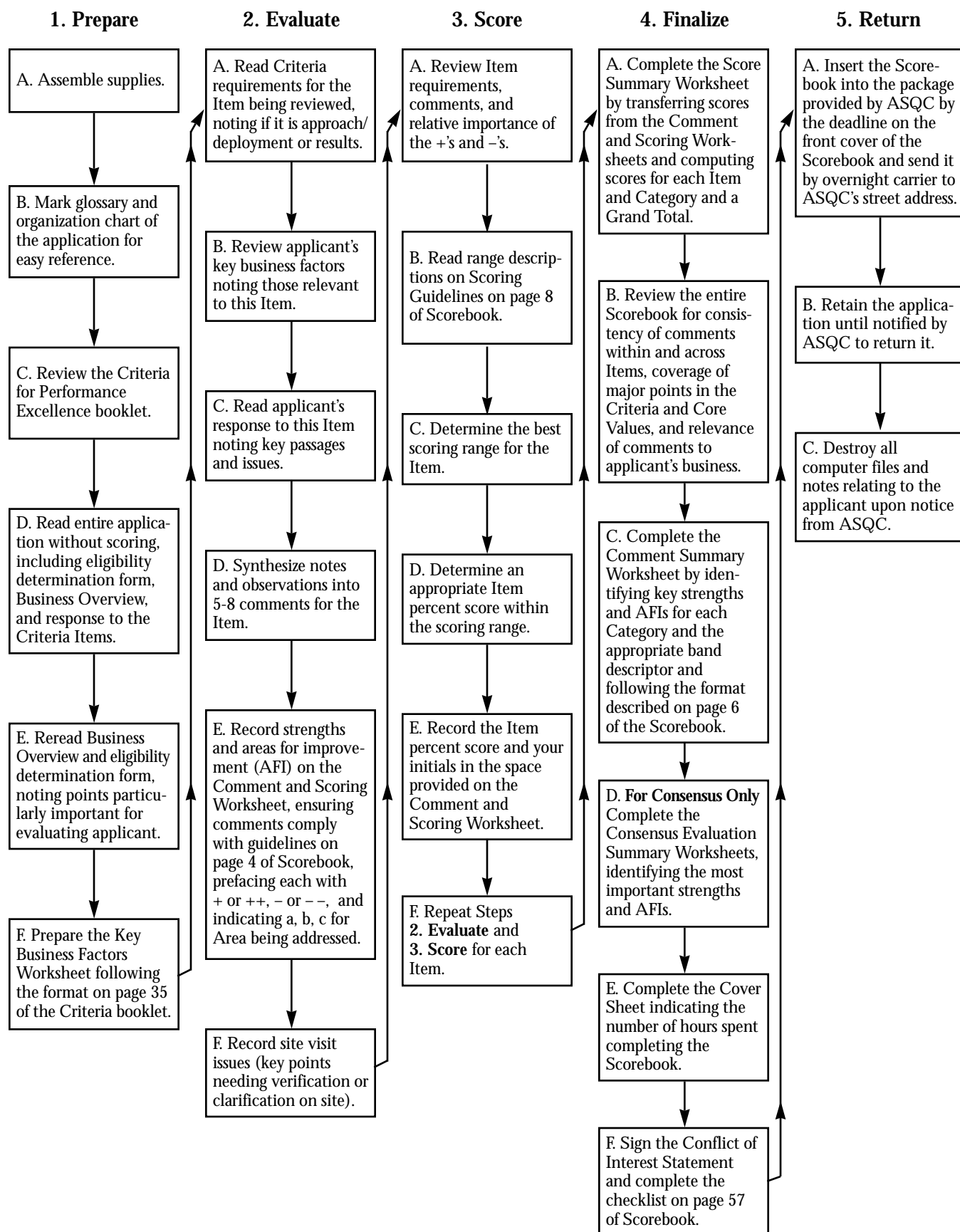
## ***Use of Computers***

A copy of the Scorebook can be downloaded from the NIST Quality Program web site <http://www.quality.nist.gov/>

You may use any word processor to prepare your Scorebook according to the following instructions:

1. Use a format similar to that in the Scorebook. Be sure to include the Key Business Factors Worksheet, all Comment and Scoring Worksheets, Score Summary Worksheet, the Comment Summary Worksheet, and the Consensus Evaluation Summary Worksheet (at consensus, only).
2. Use a new Comment and Scoring Worksheet for each Item. Record the application number and your initials on all pages.
3. Record your scores and your name on the Score Summary Worksheet.
4. Read the checklist on page 57.
5. Read and sign the Conflict of Interest Statement on page 57.
6. Return a complete paper copy of the Scorebook to ASQC including:
  - Cover Sheet
  - Key Business Factors Worksheet
  - Comment and Scoring Worksheets for 20 Items
  - Score Summary Worksheet
  - Comment Summary Worksheet
  - Consensus Evaluation Summary Worksheet (at consensus only)
  - Conflict of Interest Statement

# Suggested Stage 1 Process for Evaluating Applicants



# Suggested Process for Scorebook Completion

## Step 1: Prepare

- A. Assemble your supplies. To complete an evaluation you will need the following:
  - 1997 Criteria for Performance Excellence
  - Application Report
  - 1997 Scorebook
  - Calculator
  - Writing implements/marketing tools
- B. Mark the organization chart and glossary for easy reference.
- C. Review the Criteria for Performance Excellence booklet. You will need a working knowledge of all sections in order to properly evaluate an applicant.
- D. Read the entire application report from cover to cover, including the eligibility determination form, Business Overview, and the applicant's response to the Criteria Items.
- E. Reread the Business Overview and eligibility determination form, noting (with highlighters or marginal notes) the points that are particularly relevant and important to the proper evaluation of the applicant. The applicant's responses throughout the application and your evaluation should reflect the key business factors identified by the applicant in its Business Overview and in Section 9, "Business Factors," of the eligibility determination form.
- F. Prepare the Key Business Factors Worksheet (referring to your highlighting or notes) by listing the key business factors for the applicant. Use the headings and order on page 35 of the Criteria for Performance Excellence booklet:
  - (1) basic description of the applicant,
  - (2) customer requirements,
  - (3) supplier and partnering relationships,
  - (4) competitive factors, and
  - (5) other factors important to the applicant.

**Key Business Factors Worksheet**

To help the management review the Business Overview and the eligibility determination form, list the key business factors for the applicant using the headings and the order provided in the Guidelines for Preparing the Business Overview. (1) basic description of the applicant, (2) customer requirements, (3) supplier and partnering relationships, (4) competitive factors, and (5) other factors important to the applicant. See page 35 of the 1997 Criteria for Performance Excellence booklet for more details.

Key Business Factors Worksheet

Evaluator Initials: \_\_\_\_\_ 9

## Step 2: Evaluate

- A. Read the Criteria for one Item, noting if the Item requests the applicant to discuss an approach and its deployment, or the results of approaches discussed in other parts of the application.
- B. Review the applicant's key business factors. For your convenience, space is provided in the Scorebook (below the text of the Item Criteria) to note the key business factors which are relevant to your assessment of the specific Item. These key business factors should already be included on the Key Business Factors Worksheet.
- C. Read the applicant's response to the same Item. Make notes by highlighting key passages, writing marginal notes, or marking on the Scorebook page that contains the Item description. Assess what is written and reasonably supported in the application. If the applicant provides cross-references, or if you find relevant information elsewhere in the application report, consider that information in your assessment of the Item. However, do not make assumptions, positive or negative, that cannot be supported by the information presented in the application report.
- D. Synthesize from your notes the most important observations into 5-8 comments about the applicant's approach/deployment or results for the Item. Ensure that they relate to the major Item requirements in the Criteria. Link them to the applicant's key business factors, as appropriate.

**Criteria and Comment and Scoring Worksheet**

**1 Leadership (100 pts)**

The Leadership Criteria examines senior leaders' general leadership and involvement in creating and sustaining an effective leadership system. Also examined is how the values and experiences are integrated into the company's Leadership system, including how the company continuously learns and improves, and addresses its societal responsibilities and community involvement.

**1.1 Leadership System (30 pts)**

Describe how senior leaders guide the company in setting directions and in developing and sustaining an effective leadership system. In your response, address the following items:

**a. Leadership System**

(1) How senior leaders and company directors and team leaders exemplify the company's expectations of all key stakeholders. Include:

- (i) a description of the company's leadership system and how it incorporates clear values, company direction, high performance expectations, a strong customer focus, and continuous learning;
- (ii) how senior leaders communicate and reinforce values, direction, expectations, customer focus, and their commitment to learning throughout the work force; and
- (iii) how senior leaders review the company's overall performance, and use the review process to reinforce company direction and improve the leadership system.

**b. Example Notes:**

Company performance review are addressed in \_\_\_\_\_ on the senior leader's role in the review of overall company performance, not on the details of the review.

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- E. Record the comments as strengths or areas for improvement in the space provided on the Comment and Scoring Worksheet for that Item.

#### Comment Guidelines:

- Each of the 5-8 comments should typically consist of 1-3 complete, declarative, and nonprescriptive sentences that use specific examples from the application. If you are commenting on information from a figure, provide the figure number for ease of reference.
- Record a comment on any Area to Address to which the applicant has not responded.
- Ensure that all comments:
  - Use clear, simple, grammatically correct, and complete sentences.
  - Use a polite, professional, and positive tone.
  - Avoid jargon and acronyms, unless used by the applicant.
  - Use the applicant's terminology without "parroting" the application.
  - State observations that are nonjudgmental (avoid terms like "good," "bad," "effective," "inadequate"), nonprescriptive (refrain from using "could," "should," "would"), and nonpredictive.
  - Avoid critiquing the style/organization of the application, focusing instead on the approach, deployment, and results of the applicant's quality system.
  - Answer the "so what" question, indicating the significance of the comment.

4. Preface all comments on strengths with a (+ or ++) sign. Use a (– or --) sign to indicate areas for improvement. Double ++ and -- indicate particularly important observations that have a major impact on the applicant's score for the Item. Designate comments concerning important missing information with a (– or --). For both strengths and areas for improvement on each Item, use a, b, c, etc., to indicate the corresponding Area to Address found in the Item. Below is an example of the use of these signs and typical comments.

**7.5 Strengths**

++ a Applicant has established internal product and service quality measures that are directly linked to the key requirements of its customers and has shown consistent improvement from 1992-1996 on many of them, including Mean Time Between Calls, Parts Availability, Product Liability and Accrual, and Telephone Answering Time (Figures 7.5-1 and 7.5-3 through 7.5-5).

+ a Industry comparisons/benchmarks are provided for Parts Availability, Telephone Answering Time, and Technical Response Time (Figures 7.5-3, 7.5-5 and 7.5-6). Applicant's 1996 performance is better in all three cases.

**Areas for Improvement**

- a Direct competitive comparisons are not provided for any non-price product and service quality measures presented in the application, making it difficult to assess applicant's performance relative to its competition.

- a In many cases, results are not segmented (e.g., by location or product), preventing an assessment of the consistency of performance across all business and field units.

**Site Visit Issues**

- Verify the results presented as well as similar results for product lines and locations.
- Clarify whether additional competitive data exist and, if so, what they show.
- Verify on-time shipments and validate industry averages and benchmark results.

- F. Record site visit issues in the space provided on the Comment and Scoring Worksheet. These are major/important issues that should be verified or clarified on site. Issues for **verification** include the applicant's approach, the extent of deployment of the approach, and the results presented). For example, if you have noted as a strength the existence of a systematic process, you should verify that the process exists and operates as presented in the written application. Basically,



you are verifying that appropriate credit was given during the assessment of the written application. This is particularly true where you gave the applicant the benefit of the doubt.

Issues for on site **clarification** include information that is unclear or not provided that is *central* to the Item requirements and relevant and important to the applicant's business which may have prevented you from properly giving due credit in order to fully and fairly evaluate the applicant. For example, if the Item requires the applicant to present comparison data, but those data are not provided, a site visit issue would be to clarify if the applicant has comparison data and, if so, what the data show about the applicant's reported results relative to other organizations.

### Step 3: Score

- A. Review your comments, the relative importance of the pluses and minuses, and the Item requirements.
- B. Read the description of the scoring ranges in the Scoring Guidelines on page 8 of this Scorebook to assign a percentage score for the Item. The Scoring Guidelines are divided into two parts: the left side containing scoring dimensions for Approach/Deployment Items, and the right side containing scoring dimensions for Results Items.
- C. Determine the scoring range (0%, 10-30%, 40-60%, 70-90%, 100%) which best reflects the comments written about the applicant's level of performance on this Item. Score each Item independently. Do not let your impression of the applicant on other Items influence your evaluation of this Item. Applicants will typically be stronger in some Items than others.
- D. Determine an appropriate score within the scoring range. **For Stage 1, the independent review, use only multiples of 10% (i.e., 10%, 20%, not 15%, 28%).**

**For Stage 2, the consensus review, if using the average, first round percent scores to the nearest whole number. Next round the point scores to the nearest whole number.**

The comments and the score for an Item should be consistent, both in terms of the number of comments distributed between strengths and the areas for improvement, and the weight and substance of the comments themselves. For example, the 5-8 comments for an Item scored at 20% would appear predominantly in the areas for improvement section of the Comment and Scoring Worksheet.

- E. Record the Item score and your initials in the spaces provided on the Comment and Scoring Worksheet.
- F. Repeat the Evaluate and Score steps for each Item of the 1997 Criteria.

### Step 4: Finalize

- A. Complete the Score Summary Worksheet with your scores for each Category and Item.


Item Name	Points (0-100)	Score (0-100%)
<b>SUMMARY OF CRITERIA ITEMS</b>		
1. LEADERSHIP 100 (20%)	100	20%
1.1 Leadership Vision	20	4%
1.2 Corporate Responsibility and Citizenship	80	16%
Category Total	100	20%
2. STRATEGIC PLANNING 80 (20%)	80	16%
2.1 Long-range Strategic Vision	40	8%
2.2 Corporate Strategy	40	8%
Category Total	80	16%
3. CUSTOMER AND MARKET FOCUS 80 (20%)	80	16%
3.1 Customer and Market Knowledge	40	8%
3.2 Customer Satisfaction and Relationship Enhancement	40	8%
Category Total	80	16%
4. INFORMATION AND ANALYSIS 80 (20%)	80	16%
4.1 Information and Use of Information and Data	40	8%
4.2 Information and Use of Comparative Information and Data	40	8%
4.3 Analysis and Review of Company Performance	40	8%
Category Total	80	16%
5. HUMAN RESOURCE DEVELOPMENT AND MANAGEMENT 100 (20%)	100	20%
5.1 Work Culture	40	8%
5.2 Employee Education, Training, and Development	40	8%
5.3 Employee Work Setting and Satisfaction	20	4%
Category Total	100	20%
6. PROCESS MANAGEMENT 100 (20%)	100	20%
6.1 Management of Quality and Service Processes	40	8%
6.2 Management of Support Processes	40	8%
6.3 Management of Logistics and Packaging Processes	20	4%
Category Total	100	20%
7. BUSINESS RESULTS 60 (20%)	60	12%
7.1 Customer Satisfaction Results	10	2%
7.2 Financial and Market Results	10	2%
7.3 Human Resource Results	20	4%
7.4 Logistics and Service Results	10	2%
7.5 Company Specific Results	10	2%
Category Total	60	12%
GRAND TOTAL (60)	600	12%

1. Transfer the percent score from each Item Comment and Scoring Worksheet to Column B of the Score Summary Worksheet on page 51.
2. Compute and record the point score for each Item in Column C.
3. Compute and record in Column C (Sum C) the Category score for each Category by adding together the Item points.
4. Compute and record at "D" a Grand Total by summing the **Category** point scores in Column C.

B. Review your entire Scorebook to ensure that comments:

1. are consistent within and among Items (an aspect of the application cannot be a strength in one Item and an area for improvement in the same or another Item); and
2. cover the major points and objectives of the Criteria, reflect the Core Values, and focus on what is important to the applicant as determined by the key business factors.

C. Complete the Comment Summary Worksheet to provide an overall evaluation (executive summary) of the applicant. This worksheet is used in the development of the consensus report and the feedback report. Use the format described below.

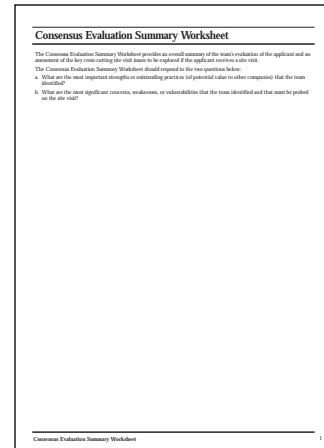


The form is titled "Comment Summary Worksheet". It contains instructions for the user to complete the scoring process, identify strengths, and provide an overall evaluation of the application. It also includes a section for the user to prepare an overall assessment paragraph of key findings and to write one paragraph for each Category summarizing key findings that correspond to the applicant's scoring profile and drawing cross-team conclusions. The form is numbered 11 at the bottom right.

1. Locate the appropriate band descriptor on the page entitled, "Scoring Band Descriptors," (page 52) based on the applicant's Grand Total score ("D" on the Score Summary Worksheet). The band descriptors describe typical characteristics of organizations scoring at each band level.
2. Write an introductory paragraph that picks up the language of the appropriate band descriptor and identifies cross-Category issues, Item linkages, and Core Values as reflected in the application.
3. Following the introductory paragraph, write one brief paragraph (2-4 sentences) for each Category, summarizing key strengths and areas for improvement and drawing cross-Item conclusions, linkages, and Core Values.

#### D. For Consensus only

Complete the Consensus Evaluation Summary Worksheet which provides an overall summary, key points of the team's evaluation of the applicant, and an assessment of the key cross-cutting site visit issues to be explored if the applicant receives a site visit. The Consensus Evaluation Summary Worksheet should provide information from the evaluation of the written application and the consensus conference call(s).



The form is titled "Consensus Evaluation Summary Worksheet". It contains instructions for the user to complete the scoring process, identify strengths, and provide an overall evaluation of the application. It also includes a section for the user to prepare an overall assessment paragraph of key findings and to write one paragraph for each Category summarizing key findings that correspond to the applicant's scoring profile and drawing cross-team conclusions. The form is numbered 12 at the bottom right.

1. The Consensus Evaluation Summary Worksheet should not repeat the most significant findings given in the Item Comment and Scoring Worksheets, but should put them in perspective, taking into account Item linkages, key business factors, and strategy and action plans.
2. The Consensus Evaluation Summary Worksheet should respond to two questions:
  - (a) What are the most important strengths or outstanding practices (of potential value to other companies) that the Consensus Team identified?
  - (b) What are the most significant concerns, weaknesses, or vulnerabilities that the Consensus Team identified and that must be probed if the applicant receives a site visit?

3. The contents of the Consensus Evaluation Summary Worksheet will be revised (and will become the Final Evaluation Summary of the site visit report) following the site visit of the applicant. On the conference call with the Judges following the site visit, the team leader will be asked to explain the site visit findings that led to the revisions.
- E. Complete the Cover Sheet, indicating the number of hours you spent completing the evaluation.
  - F. Sign the Conflict of Interest Statement indicating that you have no conflict with this applicant and complete the checklist on page 57.

<p><b>Before you return this scorebook to ASQC:</b></p> <p><input type="checkbox"/> If you used your word processor, did you follow the instructions on page 17?</p> <p><input type="checkbox"/> Have you scored each item in increments of 10% (e.g., 10%, 20%, etc.)?</p> <p><input type="checkbox"/> Have you included in the package to be returned:</p> <ul style="list-style-type: none"><li>_____ The Cover Sheet (page 3 of the Scorebook)?</li><li>_____ Key Business Factors Worksheet?</li><li>_____ Consensus and Scoring Worksheets for all 20 items?</li><li>_____ Score Summary Worksheet?</li><li>_____ Consensus Summary Worksheet?</li><li>_____ Consensus Evaluation Summary Worksheet? (the consensus stage, only)</li></ul> <div style="border: 1px solid black; padding: 5px; margin: 10px 0;"><p style="text-align: center;"><b>Conflict of Interest Statement</b></p><p>I have no conflict of interest with this applicant.</p><p>_____ Signature</p><p>_____ Date</p></div> <p>Checklist and Conflict of Interest Statement</p>
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### Step 5: Return

- A. Insert the completed Scorebook into the package provided by ASQC by the deadline on the front cover of the Scorebook and return it to ASQC by overnight carrier.
  1. ASQC will provide its overnight mail service account number to be used.
  2. Return the package by overnight services to ASQC's street address:

Malcolm Baldrige National Quality Award  
ASQC  
611 E. Wisconsin Avenue  
Milwaukee, WI 53202  
(414) 765-7205 (800) 248-1946 ext. 7226
- B. Retain the application until notified by ASQC to return it. Please respond to that request immediately. ASQC will send you a postcard indicating receipt of the application. (You will not receive a postcard when ASQC receives your Scorebook.)
- C. Destroy all computer files and notes relating to the application when notified by ASQC.

## SCORING GUIDELINES

SCORING RANGE	APPROACH / DEPLOYMENT (Categories 1-6)
0%	<ul style="list-style-type: none"> <li>■ no systematic approach evident; anecdotal information</li> </ul>
10% to 30%	<ul style="list-style-type: none"> <li>■ beginning of a systematic approach to the primary purposes of the Item</li> <li>■ early stages of a transition from reacting to problems to a general improvement orientation</li> <li>■ major gaps exist in deployment that would inhibit progress in achieving the primary purposes of the Item</li> </ul>
40% to 60%	<ul style="list-style-type: none"> <li>■ a sound, systematic approach, responsive to the primary purposes of the Item</li> <li>■ a fact-based improvement process in place in key areas; more emphasis is placed on improvement than on reaction to problems</li> <li>■ no major gaps in deployment, though some areas or work units may be in very early stages of deployment</li> </ul>
70% to 90%	<ul style="list-style-type: none"> <li>■ a sound, systematic approach, responsive to the overall purposes of the Item</li> <li>■ a fact-based improvement process is a key management tool; clear evidence of refinement and improved integration as a result of improvement cycles and analysis</li> <li>■ approach is well-deployed, with no major gaps; deployment may vary in some areas or work units</li> </ul>
100%	<ul style="list-style-type: none"> <li>■ a sound, systematic approach, fully responsive to all the requirements of the Item</li> <li>■ a very strong, fact-based improvement process is a key management tool; strong refinement and integration — backed by excellent analysis</li> <li>■ approach is fully deployed without any significant weaknesses or gaps in any areas or work units</li> </ul>

SCORING RANGE	RESULTS (Category 7)
0%	<ul style="list-style-type: none"> <li>■ no results or poor results in areas reported</li> </ul>
10% to 30%	<ul style="list-style-type: none"> <li>■ early stages of developing trends; some improvements <i>and/or</i> early good performance levels in a few areas</li> <li>■ results not reported for many to most areas of importance to the applicant's key business requirements</li> </ul>
40% to 60%	<ul style="list-style-type: none"> <li>■ improvement trends <i>and/or</i> good performance levels reported for many to most areas of importance to the applicant's key business requirements</li> <li>■ no pattern of adverse trends <i>and/or</i> poor performance levels in areas of importance to the applicant's key business requirements</li> <li>■ some trends <i>and/or</i> current performance levels — evaluated against relevant comparisons <i>and/or</i> benchmarks — show areas of strength <i>and/or</i> good to very good relative performance levels</li> </ul>
70% to 90%	<ul style="list-style-type: none"> <li>■ current performance is good to excellent in most areas of importance to the applicant's key business requirements</li> <li>■ most improvement trends <i>and/or</i> performance levels are sustained</li> <li>■ many to most trends <i>and/or</i> current performance levels — evaluated against relevant comparisons <i>and/or</i> benchmarks — show areas of leadership and very good relative performance levels</li> </ul>
100%	<ul style="list-style-type: none"> <li>■ current performance is excellent in most areas of importance to the applicant's key business requirements</li> <li>■ excellent improvement trends <i>and/or</i> sustained excellent performance levels in most areas</li> <li>■ strong evidence of industry and benchmark leadership demonstrated in many areas</li> </ul>

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# Key Business Factors Worksheet

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To begin the scoring process, review the Business Overview and the eligibility determination form. List the key business factors for this applicant using the headings and the order presented in the Guidelines for Preparing the Business Overview [1) basic description of the applicant, 2) customer requirements, 3) supplier and partnering relationships, 4) competitive factors, and 5) other factors important to the applicant]. See page 35 of the *1997 Criteria for Performance Excellence* booklet for more details.

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# Criteria and Comment and Scoring Worksheet

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## 1 Leadership (110 pts.)

The **Leadership** Category examines senior leaders' personal leadership and involvement in creating and sustaining values, company directions, performance expectations, customer focus, and a leadership system that promotes performance excellence. Also examined is how the values and expectations are integrated into the company's leadership system, including how the company continuously learns and improves, and addresses its societal responsibilities and community involvement.

### 1.1 Leadership System (80 pts.)

Approach – Deployment

**Describe how senior leaders guide the company in setting directions and in developing and sustaining an effective leadership system.**

In your response, address the following Area:

**a. Leadership System**

How the company's senior leaders provide effective leadership, taking into account the needs and expectations of all key stakeholders. Include:

- (1) how senior leaders set company directions and seek future opportunities for the company;
- (2) a description of the company's leadership system and how it incorporates clear values, company directions, high performance expectations, a strong customer focus, and continuous learning;
- (3) how senior leaders communicate and reinforce values, directions, expectations, customer focus, and their commitment to learning throughout the work force; and
- (4) how senior leaders review the company's overall performance, and use the review process to reinforce company directions and improve the leadership system.

**Note:**

*Company performance reviews are addressed in Item 4.3. Responses to 1.1a(4) should therefore focus*

*on the senior leaders' roles in the review of overall company performance, not on the details of the review.*

Examiner Notes:

## 1.1 Leadership System (80 pts.)

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+ / + +    Area to Address    (+) STRENGTHS

- / - -    Area to Address    (-) AREAS FOR IMPROVEMENT

SITE VISIT ISSUES:

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## 1.2 Company Responsibility and Citizenship (30 pts.)

Approach – Deployment

**Describe how the company addresses its responsibilities to the public and how the company practices good citizenship.**

In your response, address the following Areas:

**a. Societal Responsibilities**

How the company addresses the current and potential impacts on society of its products, services, facilities, and operations. Include:

- (1) key practices, measures, and targets for regulatory, legal, and ethical requirements and for risks associated with managing company operations; and
- (2) how the company anticipates public concerns, assesses potential impacts on society, and addresses these issues in a proactive manner.

**b. Community Involvement**

How the company and its employees support and strengthen their key communities.

**Notes:**

*N1. Public responsibilities in areas critical to the business also should be addressed in Strategy Development Process (Item 2.1) and in Process Management (Category 6). Key results, such as results of regulatory/legal compliance, environmental improvements or use of "green" technology, should be reported as Company-Specific Results (Item 7.5).*

*N2. Areas of community involvement and leadership appropriate for inclusion in 1.2b may include efforts by the company to strengthen local community services, education, the environment, and practices of trade or business associations.*

*N3. Health and safety of employees are not addressed in Item 1.2; they are addressed in Item 5.3.*

**Examiner Notes:**



## 1.2 Company Responsibility and Citizenship (30 pts.)

---

+ / + +    Area to Address    (+) STRENGTHS

- / - -    Area to Address    (-) AREAS FOR IMPROVEMENT

SITE VISIT ISSUES:

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## 2 Strategic Planning (80 pts.)

The **Strategic Planning** Category examines how the company sets strategic directions, and how it determines key action plans. Also examined is how the plans are translated into an effective performance management system.

### 2.1 Strategy Development Process (40 pts.)

Approach – Deployment

**Describe how the company sets strategic directions to better define and strengthen its competitive position. Describe also how the strategy development process leads to an action plan for deploying and aligning key plan and performance requirements.**

In your response, address the following Areas:

**a. Strategy Development**

How the company develops strategy, taking into account the five factors listed below. Provide a brief description or diagram of the strategy development process and an outline of forecasts, models, etc., used to help select strategy.

- (1) target customers; market requirements, including price; customer and market expectations; and new opportunities;
- (2) the competitive environment;
- (3) risks: financial, market, technological, and societal;
- (4) company capabilities — human resource, technology, research and development, and business processes — to seek new opportunities and/or to prepare for key new requirements; and
- (5) supplier and/or partner capabilities.

**b. Strategy Deployment**

How strategy is translated into action plans, including a clear basis for communicating and aligning critical requirements, and tracking performance relative to plans.

**Notes:**

*N1. The strategy development process refers to the company's approach to a future-oriented basis for major business decisions, resource allocations, and companywide management. The strategy development process should include revenue growth as well as cost reduction thrusts.*

*N2. Item 2.1 addresses overall company directions and strategy. Although this might include changes in services, products, and/or product lines, the Item does not address product and service design. Product and service design is addressed in Item 6.1.*

Examiner Notes:

## 2.1 Strategy Development Process (40 pts.)

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+ / + +    Area to Address    (+) STRENGTHS

- / - -    Area to Address    (-) AREAS FOR IMPROVEMENT

SITE VISIT ISSUES:

**Summarize the company's strategy and action plans and how they are deployed. Include key performance requirements and measures, and outline overall human resource plans. Estimate how the company's performance projects into the future relative to competitors and/or key benchmarks.**

In your response, address the following Areas:

**a. Strategy and Action Plans**

Provide a summary of the action plans derived from the company's strategy and how these plans are deployed. Include performance requirements, key performance measures and/or indicators, and how plans, resources, and measures are deployed to ensure alignment of goals and actions. Note any important differences between short- and longer-term plans.

**b. Human Resource Plans**

Provide a brief summary of key human resource plans derived from overall strategy. Include the following elements:

- (1) changes in work design and/or organization to improve knowledge creation/sharing, flexibility, innovation, and rapid response;
- (2) employee development, education, and training;
- (3) changes in compensation, recognition, and benefits; and
- (4) recruitment, including critical skill categories and expected or planned changes in demographics of the work force.

**c. Performance Projection**

Provide a two-to-five year projection of key performance measures and/or indicators from the company's action plans. Include appropriate comparisons with competitors and/or key benchmarks. Briefly explain the comparisons, including any estimates or assumptions made in projecting competitor performance and/or benchmark data.

Examiner Notes:

## 2.2 Company Strategy (40 pts.)

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## 3 Customer and Market Focus (80 pts.)

The **Customer and Market Focus** Category examines how the company determines requirements and expectations of customers and markets. Also examined is how the company enhances relationships with customers and determines their satisfaction.

### 3.1 Customer and Market Knowledge (40 pts.)

Approach – Deployment

**Describe how the company determines longer-term requirements, expectations, and preferences of target and/or potential customers and markets, to understand and anticipate needs and to develop business opportunities.**

In your response, address the following Area:

**a. Customer and Market Knowledge**

Provide a brief outline of how the company learns from its current and potential customers and markets, to support the company's overall business needs and opportunities. Include:

- (1) how customer groups and/or market segments are determined or selected, including the consideration of customers of competitors and other potential customers and markets. Describe how the approaches to listening and learning vary for different customer groups;
- (2) how key product and service features and their relative importance/value to customers are determined and/or projected. Describe how key information from current customers and markets, including customer retention and complaint information, is used in this determination; and
- (3) how the company's approach to listening to and learning from customers and markets is evaluated, improved, and kept current with changing business needs.

**Notes:**

*N1. The company's products and services might be sold to end users via other businesses such as retail stores or dealers. Thus, "customer groups" should take into account the requirements and expectations of both the end users and these other businesses.*

*N2. Product and service features [3.1a(2)] refer to all important characteristics and to the performance of products and services. These features affect customers*

*throughout their overall purchase and ownership experiences. The focus should be primarily on features that bear upon customer preference and repurchase loyalty — for example, those features that differentiate products and services from competing offerings. This might include price and value.*

*N3. Information about customers and markets is requested as key input to strategic planning (Item 2.1).*

Examiner Notes:

### 3.1 Customer and Market Knowledge (40 pts.)

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### 3.2 Customer Satisfaction and Relationship Enhancement (40 pts.)

#### Approach – Deployment

**Describe how the company determines and enhances the satisfaction of its customers to strengthen relationships, to improve current offerings, and to support customer- and market-related planning.**

In your response, address the following Areas:

**a. Accessibility and Complaint Management**

How the company provides access and information to enable customers to seek assistance, to conduct business, and to voice complaints. Include:

- (1) how the company determines customer contact requirements, deploys the requirements to all employees who are involved in meeting the requirements, and evaluates and improves customer contact performance; and
- (2) a description of the company's complaint management process. In this description, explain how the company ensures that complaints are resolved effectively and promptly, and that complaints received by all company units are aggregated and analyzed for use throughout the company.

**b. Customer Satisfaction Determination**

How the company determines customer satisfaction. Include:

- (1) how the company follows up with customers on products, services, and recent transactions to receive prompt and actionable feedback;
- (2) a brief description of other customer satisfaction determination processes and measurements used. Describe how the measurements capture actionable information that reflects customers' future business with the company and/or positive referral. Indicate significant differences, if any, in methods and/or measurement scales for different customer groups or segments; and
- (3) how the company obtains objective and reliable information on customer satisfaction relative to its competitors.

**Notes:**

*N1. Customer satisfaction measurement might include both a numerical rating scale and descriptors for each unit in the scale. Effective (actionable) customer satisfaction measurement provides reliable information about customer ratings of specific product and service features and the relationship between these ratings and the customer's likely future actions — repurchase and/or positive referral. Product and service features might include overall value and price.*

*N2. The company's products and services might be sold to end users via other businesses such as retail stores or dealers. Thus, "customer groups or segments" should take into account these other businesses as well as the end users.*

*N3. Information on trends and levels in measures and/or indicators of complaint handling effectiveness such as complaint response time, effective resolution, and percent of complaints resolved on first contact should be reported in Item 7.5.*

Examiner Notes:



### 3.2 Customer Satisfaction and Relationship Enhancement (40 pts.)

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## 4 Information and Analysis (80 pts.)

The **Information and Analysis** Category examines the management and effectiveness of the use of data and information to support key company processes and the company's performance management system.

### 4.1 Selection and Use of Information and Data (25 pts.)

Approach – Deployment

**Describe the company's selection, management, and use of information and data needed to support key company processes and improve company performance.**

In your response, address the following Area:

**a. Selection and Use of Information and Data**

Describe:

- (1) the main types of information and data, financial and non-financial, and how each type relates to key company processes and goals. Briefly explain how the information and data are integrated into measurements that can be used to track and improve the company's performance.
- (2) how the information and data are deployed to users to ensure alignment with key company goals;
- (3) how key user requirements, including rapid access and reliability, are met; and
- (4) how information and data, their deployment, and effectiveness of use are evaluated, improved, and kept current with changing business needs.

**Notes:**

*N1. "Users" [4.1a(2,3)] refers to company work units and to those outside the company who have access — customers, suppliers, and business partners, as appropriate.*

*N2. Deployment of information and data might be via electronic or other means. Reliability [4.1a(3)] includes software and delivery systems.*

Examiner Notes:

#### 4.1 Selection and Use of Information and Data (25 pts.)

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## 4.2 Selection and Use of Comparative Information and Data (15 pts.)

Approach – Deployment

**Describe the company's selection, management, and use of comparative information and data to improve the company's overall performance and competitive position.**

In your response, address the following Area:

**a. Selection and Use of Comparative Information and Data**

Describe:

- (1) how needs and priorities for comparative information and data are determined;
- (2) the company's criteria for seeking sources of appropriate comparative information and data — from within and outside the company's industry and markets;
- (3) how comparative information and data are used to set stretch targets and/or to encourage performance breakthroughs; and
- (4) how comparative information and data, their deployment, and effectiveness of use are evaluated, improved, and kept current with changing business needs.

**Note:**

*Comparative information and data include benchmarking and competitive comparisons. Benchmarking refers to processes and results that represent best practices and performance for similar activities,*

*inside or outside the company's industry. Competitive comparisons refer to performance relative to direct competitors in the company's markets.*

Examiner Notes:

## 4.2 Selection and Use of Comparative Information and Data (15 pts.)

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### 4.3 Analysis and Review of Company Performance (40 pts.)

Approach – Deployment

**Describe how the company analyzes and reviews overall performance to assess progress relative to plans and to identify key areas for improvement.**

In your response, address the following Areas:

**a. Analysis of Data**

How performance data from all parts of the company are integrated and analyzed to assess overall company performance in key areas. Describe the principal financial and non-financial measures integrated and analyzed to determine:

- (1) customer-related performance;
- (2) operational performance, including product and service performance;
- (3) competitive performance; and
- (4) financial and market-related performance.

**b. Review of Company Performance**

How company performance and capabilities are reviewed to assess progress relative to goals, plans, and changing business needs. Describe how review findings are translated into improvement priorities and deployed throughout the company and, as appropriate, to the company's suppliers and/or business partners.

**Notes:**

*N1. Analysis includes trends, projections, comparisons, and cause-effect correlations intended to support the setting of priorities for resource use. Accordingly, analysis draws upon all types of data: operational, customer-related, financial, and economic.*

*N2. Performance results should be reported in Items 7.1, 7.2, 7.3, 7.4, and 7.5.*

Examiner Notes:

### 4.3 Analysis and Review of Company Performance (40 pts.)

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## 5 Human Resource Development and Management (100 pts.)

The **Human Resource Development and Management** Category examines how the work force is enabled to develop and utilize its full potential, aligned with the company's objectives. Also examined are the company's efforts to build and maintain an environment conducive to performance excellence, full participation, and personal and organizational growth.

### 5.1 Work Systems (40 pts.)

Approach – Deployment

**Describe how the company's work and job design and its compensation and recognition approaches enable and encourage all employees to contribute effectively to achieving the company's performance and learning objectives.**

In your response, address the following Areas:

**a. Work and Job Design**

How work and jobs, including those of managers at all levels in the company, are designed, organized, and managed to ensure:

- (1) opportunities for individual initiative and self-directed responsibility in designing, managing, and improving company work processes;
- (2) flexibility, cooperation, rapid response, and learning in addressing current and changing customer and operational requirements; and
- (3) effective communications, and knowledge and skill sharing across work functions, units, and locations.

**b. Compensation and Recognition**

How the company's compensation and recognition approaches for individuals and groups, including managers at all levels in the company, reinforce the overall work systems, performance, and learning objectives.

**Notes:**

*N1. Work design refers to how employees are organized and/or organize themselves in formal and informal, temporary, or longer-term units. This includes work teams, problem-solving teams, functional units, cross-functional teams, and departments — self-managed or managed by supervisors.*

*Job design refers to responsibilities, authorities, and tasks assigned to individuals.*

*N2. Compensation and recognition refer to all aspects of pay and reward, including promotions and bonuses. This includes monetary and non-monetary, formal and informal, and individual and group compensation and recognition.*

Examiner Notes:



## 5.1 Work Systems (40 pts.)

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## 5.2 Employee Education, Training, and Development (30 pts.)

Approach – Deployment

**Describe how the company's education and training address key company plans and needs, including building knowledge and capabilities, and contributing to improved employee performance and development.**

In your response, address the following Area:

**a. Employee Education, Training, and Development**

Describe:

- (1) how education and training address the company's key performance plans and needs, including longer-term employee development objectives;
- (2) how education and training are designed to support the company's approach to work and jobs. Include how the company seeks input from employees and their managers in education and training design;
- (3) how education and training, including orientation of new employees, are delivered;
- (4) how knowledge and skills are reinforced on the job; and
- (5) how education and training are evaluated and improved, taking into account company performance, employee development objectives, and costs of education and training.

**Notes:**

*N1. Education and training address the knowledge and skills employees need to meet their overall work and development objectives.*

*N2. Education and training delivery [5.2a(3)] might occur inside or outside the company and involve on-the-job, classroom, computer-based, or other types of delivery.*

Examiner Notes:

## 5.2 Employee Education, Training, and Development (30 pts.)

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### 5.3 Employee Well-Being and Satisfaction (30 pts.)

#### Approach – Deployment

**Describe how the company maintains a work environment and work climate that support the well-being, satisfaction, and motivation of employees.**

In your response, address the following Areas:

**a. Work Environment**

How the company maintains a safe and healthful work environment. Include how employee well-being factors such as health, safety, and ergonomics are included in improvement activities. Briefly describe key measures and targets for each important factor. Note significant differences, if any, based upon different health and safety factors in the work environments of employee groups or work units.

**b. Employee Support Services**

How the company supports the well-being, satisfaction, and motivation of employees via services, facilities, activities, and opportunities.

**c. Employee Satisfaction**

How the company determines employee well-being, satisfaction, and motivation. Include:

- (1) a brief description of formal and informal methods used. Outline how the company determines the key factors that affect employee well-being, satisfaction, and motivation and assesses its work climate. Note important differences in methods, factors, or measures for different categories or types of employees, as appropriate; and
- (2) how the company relates employee well-being, satisfaction, and motivation results to key business results and/or objectives to identify improvement activities.

**Notes:**

*N1. Services, facilities, activities, and opportunities (5.3b) might include: counseling; career development and employability services; recreational or cultural activities; non-work-related education; day care; special leave for family responsibilities and/or for community service; safety off the job; flexible work hours; out-placement; and retiree benefits, including extended health care.*

*N2. Specific factors that might affect satisfaction, well-being, and motivation include: effective employee problem or grievance resolution; safety; employee views of management; employee development and career opportunities; employee preparation for changes in*

*technology or work organization; work environment; workload; cooperation and teamwork; recognition; benefits; communications; job security; compensation; equality of opportunity; and capability to provide required services to customers.*

*N3. Measures and/or indicators of well-being, satisfaction, and motivation (5.3c) might include safety, absenteeism, turnover, turnover rate for customer-contact employees, grievances, strikes, and worker compensation, as well as results of surveys. Results relative to such measures and/or indicators should be reported in Item 7.3.*

**Examiner Notes:**

### 5.3 Employee Well-Being and Satisfaction (30 pts.)

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## 6 Process Management (100 pts.)

The **Process Management** Category examines the key aspects of process management, including customer-focused design, product and service delivery processes, support processes, and supplier and partnering processes involving all work units. The Category examines how key processes are designed, effectively managed, and improved to achieve better performance.

### 6.1 Management of Product and Service Processes (60 pts.)

Approach – Deployment

**Describe how new, significantly modified, and customized products and services are designed. Describe how production/delivery processes are designed, implemented, and improved.**

In your response, address the following Areas:

#### **a. Design Processes**

How products, services, and production/delivery processes are designed. Include:

- (1) how changing customer requirements and technology are incorporated into product and service designs;
- (2) how production/delivery processes are designed to meet quality and operational performance requirements; and
- (3) how design and production/delivery processes are coordinated to ensure trouble-free introduction and delivery of products and services.

#### **b. Production/Delivery Processes**

How the company's key product and service production/delivery processes are managed and improved. Include:

- (1) a description of the key processes and their principal requirements;
- (2) how the processes are managed to maintain process integrity and to ensure products and services will meet operational and customer requirements. Include a description of key in-process measurements and customer interactions, as appropriate; and
- (3) how product and service processes are evaluated and improved to achieve better performance, including improvements to products and services, and the transfer of learning to other company units and projects.

#### **Notes:**

*N1. The exact relationship of design processes to production/delivery processes and the relative importance of design processes depend on a company's specific business. For example, a developer of customized products or services would address this Item differently than an innovation-intensive manufacturer of high volume, high technology products. Other approaches would be appropriate for a small manufacturer that receives design information from its customers or for a service company that develops new services where delivery processes change depending on an ongoing dialog with the customer.*

*N2. Responses to 6.1a(1) should include how customer review of designs is accomplished, if appropriate.*

*N3. Responses to 6.1a(3) should include key supplier participation, as appropriate.*

*N4. Process evaluation and improvement [6.1b(3)] could include process analysis, research and development results, benchmarking, use of alternative technology, and information from internal and external customers.*

*N5. Results of improvements in product and service design and delivery processes, product and service quality results, and results of improvements in products and services should be reported in Item 7.5.*

*N6. Significant changes in products, services, and production/delivery processes will often result from strategic directions discussed in Item 2.2.*

#### Examiner Notes:

## 6.1 Management of Product and Service Processes (60 pts.)

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## 6.2 Management of Support Processes (20 pts.)

Approach – Deployment

**Describe how the company's key support processes are designed, managed, and improved.**

In your response, address the following Area:

**a. Management of Support Processes**

How key support processes are designed, managed, and improved so that current and future requirements are met. Include:

- (1) how key requirements are determined or set, incorporating input from internal and external customers;
- (2) how key support processes are designed to meet overall performance requirements;
- (3) a description of the key support processes and their principal requirements;
- (4) how the processes are managed to maintain process performance and to ensure results will meet operational and customer requirements. Include a description of key in-process measurements and customer interactions, as appropriate; and
- (5) how the processes are evaluated and improved to achieve better performance, including cycle time.

**Notes:**

*N1. The purpose of Item 6.2 is to permit companies to highlight separately the processes that support the product and service design, production, and delivery processes addressed in Item 6.1. The support processes included in Item 6.2 depend on the factors relevant to the company's business. Thus, this selection should be made by the company. Together, Items 6.1, 6.2, and 6.3 should cover all key operations, processes, and activities of all work units.*

*N2. Process evaluation and improvement [6.2a(5)] could include process analysis and research, benchmarking, use of alternative technology, and information from internal and external customers. Information from external customers could include information described in Items 3.2 and 4.3.*

*N3. Results of improvements in support processes and performance of key support processes should be reported in Item 7.5.*

**Examiner Notes:**



## 6.2 Management of Support Processes (20 pts.)

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### 6.3 Management of Supplier and Partnering Processes (20 pts.)

Approach – Deployment

**Describe how the company's supplier and partnering processes, relationships, and performance are managed and improved.**

In your response, address the following Area:

**a. Management of Supplier and Partnering Processes**

Describe:

- (1) how supplier and partnering processes are designed to meet overall performance requirements, including how preferred suppliers and partners are selected, as appropriate. Include a brief summary of the principal performance requirements for key suppliers and partners;
- (2) how the company ensures that these requirements are met. Include a description of key measures, expected performance levels, and how performance information is fed back to suppliers and partners; and
- (3) how the company evaluates and improves its management of supplier and partnering processes to achieve better performance. Discuss current actions and plans to improve suppliers' and partners' abilities to contribute to achieving your company's performance goals. Include actions to minimize costs associated with inspection, test, or other performance audits; and actions to enhance supplier and partner knowledge of your company's needs and their ability to respond to those needs.

**Note:**

*Results of improvements in supplier and partnering processes and supplier/partner performance results should be reported in Item 7.4.*

Examiner Notes:

### 6.3 Management of Supplier and Partnering Processes (20 pts.)

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## 7 Business Results (450 pts.)

The **Business Results** Category examines the company's performance and improvement in key business areas — customer satisfaction, financial and marketplace performance, human resource, supplier and partner performance, and operational performance. Also examined are performance levels relative to competitors.

### 7.1 Customer Satisfaction Results (130 pts.)

Results

**Summarize the company's customer satisfaction and dissatisfaction results.**

In your response, address the following Area:

**a. Customer Satisfaction Results**

Summarize current levels and trends in key measures and/or indicators of customer satisfaction and dissatisfaction, including satisfaction relative to competitors.

**Notes:**

*N1. Customer satisfaction results reported in this Item derive from determination methods described in Item 3.2.*

*N2. Measures and/or indicators of customer satisfaction and satisfaction relative to competitors may include information on customer-perceived value.*

*N3. Measures and/or indicators of satisfaction relative to competitors might include objective information and data from customers and independent organizations. Comparative performance of products and services should be addressed in Item 7.5.*

Examiner Notes:

## 7.1 Customer Satisfaction Results (130 pts.)

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## 7.2 Financial and Market Results (130 pts.)

### Results

**Summarize the company's key financial and marketplace performance results.**

In your response, address the following Area:

**a. Financial and Market Results**

Provide results of:

- (1) financial performance, including aggregate measures of financial return and/or economic value, as appropriate; and
- (2) marketplace performance, including market share, business growth, and new markets entered, as appropriate.

For all quantitative measures and/or indicators of performance, provide current levels and trends. Include appropriate comparative data.

**Note:**

*Aggregate measures such as return on investment (ROI), margin rates, operating profit rates, and other profitability, liquidity, and financial activity measures are appropriate for responding to 7.2a(1).*

Examiner Notes:

## 7.2 Financial and Market Results (130 pts.)

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### 7.3 Human Resource Results (35 pts.)

#### Results

**Summarize the company's human resource results, including employee well-being, satisfaction, development, and work system performance.**

In your response, address the following Area:

**a. Human Resource Results**

Summarize current levels and trends in key measures and/or indicators of employee well-being, satisfaction, development, work system improvement, and effectiveness. Address all categories and types of employees, as appropriate. Include appropriate comparative data.

**Notes:**

*N1. The results reported in this Item should address results from activities described in Category 5. The results should be responsive to key process needs described in Category 6, and the company and human resource strategy described in Item 2.2.*

*N2. Appropriate indicators of employee satisfaction, well-being, development, and effectiveness include safety, absenteeism, turnover, turnover rate for*

*customer-contact employees, grievances, strikes, worker compensation, innovation and suggestion rates, courses completed, and cross-training, as well as results of employee surveys.*

*N3. Appropriate measures and/or indicators of work system improvements and effectiveness might include job and job classification simplification, job rotation, work layout, work locations, and changing supervisory ratios.*

Examiner Notes:



### 7.3 Human Resource Results (35 pts.)

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#### 7.4 Supplier and Partner Results (25 pts.)

Results

**Summarize results of the company's supplier and partner performance.**

In your response, address the following Area:

**a. Supplier and Partner Results**

Summarize current levels and trends in key measures and/or indicators of supplier and partner performance. Include company cost and/or performance improvements attributed to supplier and partner performance, as appropriate. Include appropriate comparative data.

**Note:**

*The results reported in this Item should relate directly to processes and requirements described in Item 6.3.*

Examiner Notes:

## 7.4 Supplier and Partner Results (25 pts.)

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## 7.5 Company-Specific Results (130 pts.)

### Results

**Summarize key company operational performance results that significantly contribute to key company goals — customer satisfaction, operational effectiveness, and financial/marketplace performance.**

In your response, address the following Area:

**a. Company-Specific Results**

Summarize key company-specific results derived from: product and service quality and performance; key process performance; productivity, cycle time, and other effectiveness and efficiency measures; regulatory/legal compliance; and other results supporting the company's strategy, such as new product/service introductions. For all quantitative measures and/or indicators of performance, provide current levels and trends. Include appropriate comparative data.

**Notes:**

*N1. Results reported in Item 7.5 should include results not reported in Items 7.1, 7.2, 7.3, and 7.4, and that address key company requirements and progress toward key company goals as presented in the Business Overview, Items 1.1, 2.2, 6.1, and 6.2.*

*N2. Results reported in Item 7.5 should provide key information for analysis and review of company*

*performance (Item 4.3) and should provide the operational basis for company financial and market results (Item 7.2) and customer satisfaction (Item 7.1).*

*N3. Regulatory/legal compliance results reported in Item 7.5 should address requirements described in Item 1.2.*

Examiner Notes:

## 7.5 Company-Specific Results (130 pts.)

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# Score Summary Worksheet

Examiner Name \_\_\_\_\_ Application Number \_\_\_\_\_

SUMMARY OF CRITERIA ITEMS	Total Points Possible <b>A</b>	Percent Score 0-100% (10% units) <b>B</b>	Score (A x B) <b>C</b>
<b>1 LEADERSHIP</b> 110 POSSIBLE POINTS			
1.1 Leadership System	80	_____ %	_____
1.2 Company Responsibility and Citizenship	30	_____ %	_____
<b>Category Total</b>	<b>110</b>		<b>SUM C</b>
<b>2 STRATEGIC PLANNING</b> 80 POSSIBLE POINTS			
2.1 Strategy Development Process	40	_____ %	_____
2.2 Company Strategy	40	_____ %	_____
<b>Category Total</b>	<b>80</b>		<b>SUM C</b>
<b>3 CUSTOMER AND MARKET FOCUS</b> 80 POSSIBLE POINTS			
3.1 Customer and Market Knowledge	40	_____ %	_____
3.2 Customer Satisfaction and Relationship Enhancement	40	_____ %	_____
<b>Category Total</b>	<b>80</b>		<b>SUM C</b>
<b>4 INFORMATION AND ANALYSIS</b> 80 POSSIBLE POINTS			
4.1 Selection and Use of Information and Data	25	_____ %	_____
4.2 Selection and Use of Comparative Information and Data	15	_____ %	_____
4.3 Analysis and Review of Company Performance	40	_____ %	_____
<b>Category Total</b>	<b>80</b>		<b>SUM C</b>
<b>5 HUMAN RESOURCE DEVELOPMENT AND MANAGEMENT</b> 100 POSSIBLE POINTS			
5.1 Work Systems	40	_____ %	_____
5.2 Employee Education, Training, and Development	30	_____ %	_____
5.3 Employee Well-Being and Satisfaction	30	_____ %	_____
<b>Category Total</b>	<b>100</b>		<b>SUM C</b>
<b>6 PROCESS MANAGEMENT</b> 100 POSSIBLE POINTS			
6.1 Management of Product and Service Processes	60	_____ %	_____
6.2 Management of Support Processes	20	_____ %	_____
6.3 Management of Supplier and Partnering Processes	20	_____ %	_____
<b>Category Total</b>	<b>100</b>		<b>SUM C</b>
<b>7 BUSINESS RESULTS</b> 450 POSSIBLE POINTS			
7.1 Customer Satisfaction Results	130	_____ %	_____
7.2 Financial and Market Results	130	_____ %	_____
7.3 Human Resource Results	35	_____ %	_____
7.4 Supplier and Partner Results	25	_____ %	_____
7.5 Company-Specific Results	130	_____ %	_____
<b>Category Total</b>	<b>450</b>		<b>SUM C</b>
<b>GRAND TOTAL (D)</b>	<b>1000</b>		<b>D</b>

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## Scoring Band Descriptors

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Band	Band Number	Descriptors
0-250	1	Early stages of developing and implementing approaches to Category requirements. Important gaps exist in most Categories.
251-350	2	Beginning of a systematic approach to primary purposes of Items, but major gaps exist in approach and deployment in some Categories. Early stages of obtaining results stemming from approaches.
351-450	3	A systematic approach to the primary purposes of most Items, but deployment in some key Areas to Address is still too early to demonstrate results. Early improvement trends in some areas of importance to key requirements.
451-550	4	Effective approaches to many Areas to Address, but deployment in some Areas is still at early stages. Further deployment, measures, and results are needed to demonstrate integration, continuity, and maturity.
551-650	5	A sound, systematic approach responsive to many of the Areas to Address with a fact-based improvement process in place in key Areas. No major gaps in deployment. Improvement trends and/or good performance reported for most areas of importance.
651-750	6	Refined approaches, including key measures, good deployment, and good results in most Areas. Some outstanding activities and results clearly demonstrated. Good evidence of continuity and maturity in many Areas. Basis for further deployment and integration is in place. May be “industry” leaders or benchmark leaders in some Areas.
751-875	7	Refined approaches, excellent deployment, and good to excellent improvement and levels demonstrated in most Areas. Good to excellent integration. “Industry” leadership and some benchmark leadership.
876-1000	8	Outstanding approaches, full deployment, excellent and sustained results. Excellent integration and maturity. National and world leadership.



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# Comment Summary Worksheet

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To complete the scoring process, briefly summarize your overall evaluation of the application.

Prepare an overall assessment paragraph of key findings tied to the appropriate scoring band descriptor (see page 52 for scoring band descriptors). Note cross-cutting issues, Item linkages, and core values as reflected in the application.

Write one paragraph for each Category summarizing key findings that correspond to the applicant's scoring profile and drawing cross-Item conclusions.



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# Consensus Evaluation Summary Worksheet

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The Consensus Evaluation Summary Worksheet provides an overall summary of the team's evaluation of the applicant and an assessment of the key cross-cutting site visit issues to be explored if the applicant receives a site visit.

The Consensus Evaluation Summary Worksheet should respond to the two questions below:

- a. What are the most important strengths or outstanding practices (of potential value to other companies) that the team identified?
- b. What are the most significant concerns, weaknesses, or vulnerabilities that the team identified and that must be probed on the site visit?



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## Before you return this scorebook to ASQC:

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- ☐ If you used your word processor, did you follow the instructions on page 1?
- ☐ Have you scored each Item in increments of 10% (e.g., 10%, 20%, etc.)?
- ☐ Have you included in the package to be returned:
  - \_\_\_\_\_ The Cover Sheet (page i) of the Scorebook?
  - \_\_\_\_\_ Key Business Factors Worksheet?
  - \_\_\_\_\_ Comment and Scoring Worksheets for all 20 Items?
  - \_\_\_\_\_ Score Summary Worksheet?
  - \_\_\_\_\_ Comment Summary Worksheet?
  - \_\_\_\_\_ Consensus Evaluation Summary Worksheet? (for consensus stage, only)

### Conflict of Interest Statement

I have no conflict of interest with this applicant.

\_\_\_\_\_  
*Signature*

\_\_\_\_\_  
*Date*



## **The Malcolm Baldrige National Quality Award**

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